



JPW/93  
P 17544

PTO/SB/21 (02-04)  
Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/027,671
	Filing Date	December 21, 2001
	First Named Inventor	Daniel T. Colbert
	Art Unit	1754
	Examiner Name	Peter J. Lish
Total Number of Pages in This Submission	Attorney Docket Number	11321-P011C1D2

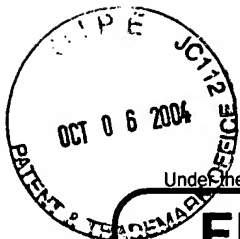
ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance communication to Technology Center (TC)
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input checked="" type="checkbox"/> Petition to correct inventors, with seven (7) attached Exhibits	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Postal Receipt Card
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Ross Spencer Garsson Winstead Bechert & Minick PC.
Signature	
Date	10/4/04

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Serena Beller
Signature	Serena Beller
Date	10/4/04

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 130.00

**Complete if Known**

Application Number	10/027,671
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Peter J. Lish
Art Unit	1754
Attorney Docket No.	11321-P011C1D2

**METHOD OF PAYMENT** (check all that apply)☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

23-2426

Winstead Sechrest &amp; Minick P.C.

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ )

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Independent Claims	<input type="text"/>	- 3** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent					<input type="text"/>	<input type="text"/>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ )

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION** (continued)**3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130.00
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 130.00

**SUBMITTED BY**

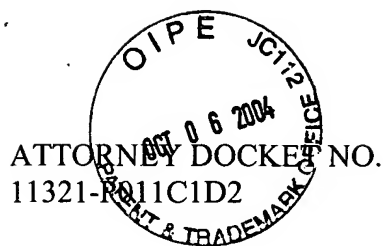
(Complete (if applicable))

Name (Print/Type)	Ross Spencer Garsson	Registration No. (Attorney/Agent)	38,150	Telephone	512.370.2870
Signature		Date	10/4/04		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT  
Serial No. 10/027,671

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application:     Colbert, et al.  
Serial No.:             10/027,671  
Filed:                  December 21, 2001  
Confirmation No:       1673  
Art Unit:               1754  
Examiner:              Peter J. Lish  
For:                     METHOD FOR CUTTING SINGLE-WALL CARBON NANOTUBES

Mail Stop: Petitions  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**PETITION UNDER 37 C.F.R. § 1.48 TO CORRECT THE INVENTORSHIP**

Dear Sir:

This petition under 37 C.F.R. § 1.48 is to correct the inventorship of this application. Applicant respectfully petitions the inventors be corrected to reflect the correct inventorship of this invention to the following:

10/07/2004 MAHMED1 00000056 10027671

01 FC:1460

130.00 OP

- 1 -

PETITION UNDER 37 C.F.R. § 1.48  
TO CORRECT THE INVENTORSHIP

Daniel T. Colbert  
Hongjie Dai  
Jason H. Hafner  
Andrew G. Rinzler  
Richard E. Smalley  
Jie Liu  
Kenneth A. Smith  
Ting Guo  
Pavel Nikolaev  
Andreas Thess

The identification of the inventors specified on the original Declaration for this application was incorrect. This misidentification of the inventors was made through error and without deceptive intent.

The Official Filing Receipt for this application was issued on February 6, 2002. A corrected Declaration was filed on July 2, 2003 shortly after the error in the inventorship was discovered and the document was signed by the inventors. A Request for Corrected Filing Receipt was filed on October 22, 2003 after this office did not receive a corrected filing receipt by the PTO after its receipt of the Corrected Declaration. A Response to Request for Corrected Filing Receipt was issued by the PTO on November 12, 2003. This Response indicated that a Petition to Correct the Inventorship was required to correct the inventorship of this application. This Petition is being filed as soon as practicable after signature of all the required documents. Accordingly, this document is being timely filed under 37 CFR § § 1.116 and 1.312.

Attached to this Request are the following documents as specified in 37 CFR § 1.48:

1. A signed statement from all of the inventors indicating that the error in the inventorship occurred without deceptive intention on their part;



2. A copy of the Amended Declaration and Power of Attorney signed by all ten (10) inventors and filed with the PTO on July 2, 2003;
3. A copy of the Assignment signed by all ten (10) inventors and recorded with the Assignment Branch of the PTO on May 16, 2003 at Reel 014070 Frame 0372;
4. A copy of the Consent for Correction of Inventors, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;
5. Statement Under 37 CFR § 3.73(b), signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University;
6. Power of Attorney and Correspondence Address Indication Form, signed by Peter L. Schuerman, Acting Director, Office of Technology Transfer on behalf of Assignee, William Marsh Rice University; and
7. Supplemental Application Data Sheet reflecting all inventor information.

Applicant hereby requests that the inventor list and order of the inventors be changed to reflect the inventors and their order as specified above.

In the event this petition is granted, Applicant further respectfully requests the change be noted in the patent application and the file sent to the Application Processing Division for correction on the file wrapper label and the PALM data base regarding inventorship. MPEP § 605.04(g). Attached is a copy of the Official Filing Receipt with the changes to the filing receipt noted in red.

Enclosed is the Petition Fee in the amount of \$130.00. It is believed that no additional fees are due. However, the Director is hereby authorized to deposit any overpayment and debit any further charges to Deposit Account Number 23-2426 of Winstead Sechrest & Minick P.C.

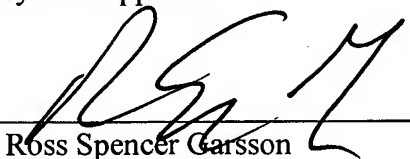
ATTORNEY DOCKET NO.  
11321-P011C1D2

PATENT  
Serial No. 10/027,671

Applicant respectfully requests that Applicant's attorney be called at the below listed number if it is believed that such a discussion would be helpful in resolving any problems or questions.

Respectfully submitted,  
WINSTEAD SECHREST & MINICK P.C.  
Attorneys for Applicant

Date: 10/4/04

By:   
Ross Spencer Garsson  
Reg. No. 38,150

P.O. Box 50784  
Dallas, Texas 75201  
Phone: 512.370.2870  
Fax: 214.745.5390

Dallas\_1 4041646v.1

Attorney Docket No.  
11321-P011 Series



JUN 21 2004  
ATTY

### INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

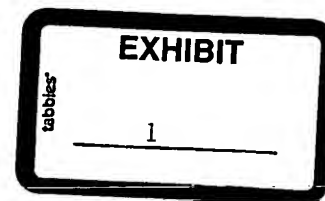
#### MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003


are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.



**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:**  **DATE:** 6/12/04

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

DALLAS\_1\3913352\2  
11321-P011WOUS 01/07/2004

### INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

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10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

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**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF SECOND INVENTOR: **DAI, Hongjie**

INVENTOR'S SIGNATURE: Hongjie DAI

DATE: 7/14/04

FULL NAME OF THIRD INVENTOR: **HAFNER, Jason H.**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF FOURTH INVENTOR: **RINZLER, Andrew G.**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF FIFTH INVENTOR: **SMALLEY, Richard E.**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF SIXTH INVENTOR: **JIE LIU**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

DALLAS\_I39133522  
11321-P011WOUS 01/07/2004



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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
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**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: \_\_\_\_\_


DATE: \_\_\_\_\_

FULL NAME OF SECOND INVENTOR: **DAI, Hongjie**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

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INVENTOR'S SIGNATURE:  \_\_\_\_\_

DATE: 6/21/04

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INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF FIFTH INVENTOR: **SMALLEY, Richard E.**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF SIXTH INVENTOR: **JIE LIU**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

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**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

DALLAS I39133522  
11321-P011 WOUS 01/07/2004

**INVENTOR STATEMENT**

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

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10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

The error in the original list of inventors was inadvertent and such error arose without any deceptive intent on the part of any of the persons named as an original inventor or on the part of the persons who through error were not originally named as an inventor.

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

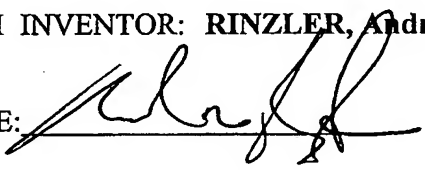
**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:**  **DATE:** 8/10/04

**FULL NAME OF FIETH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

DALLAS\_1139133522  
11321-P011WOUS 01/07/2004

### INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

#### MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR:** COLBERT, Daniel T.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SECOND INVENTOR:** DAI, Hongjie

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR:** HAFNER, Jason H.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR:** RINZLER, Andrew G.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR:** SMALLEY, Richard E.

**INVENTOR'S SIGNATURE:**  **DATE:** 6/30/04

**FULL NAME OF SIXTH INVENTOR:** JIE LIU

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_



**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:\_\_\_\_\_**                      **DATE:\_\_\_\_\_**

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:\_\_\_\_\_**                      **DATE:\_\_\_\_\_**

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:\_\_\_\_\_**                      **DATE:\_\_\_\_\_**

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:\_\_\_\_\_**                      **DATE:\_\_\_\_\_**

DALLAS\_1139133522  
11321-P011WOUS 01/07/2004

**INVENTOR STATEMENT**

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

<b>Appl. Serial No.</b>	<b>Att. Docket No.</b>	<b>Type/Continuity Type:</b>	<b>Filing Date:</b>
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
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10/027,750	11321-P011C1D7	Divisional	December 21, 2001
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10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

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**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

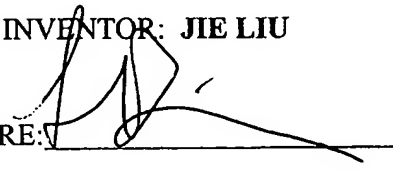
**DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:**  \_\_\_\_\_

**DATE:** 07/10/04

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

DALLAS\_11391335212  
11321-P011WOUS 01/07/2004

### INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

#### MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: Kenneth A. Smith DATE: July 26, 2004

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

DALLAS\_1139133522  
11321-P011WOUS 01/07/2004

### INVENTOR STATEMENT

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

#### MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

for which the following applications have been filed:

Appl. Serial No.	Att. Docket No.	Type/Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**


**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE:  \_\_\_\_\_

DATE: 7/7/2004

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

DALLAS\_11391335212  
11321-P011WOUS 01/07/2004

**INVENTOR STATEMENT**

As below named inventors, we hereby state that the correct inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

<b>Appl. Serial No.</b>	<b>Att. Docket No.</b>	<b>Type/Continuity Type:</b>	<b>Filing Date:</b>
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
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are the following inventors: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

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**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF FIRST INVENTOR: **COLBERT, Daniel T.**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF SECOND INVENTOR: **DAI, Hongjie**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF THIRD INVENTOR: **HAFNER, Jason H.**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF FOURTH INVENTOR: **RINZLER, Andrew G.**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF FIFTH INVENTOR: **SMALLEY, Richard E.**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF SIXTH INVENTOR: **JIE LIU**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF SEVENTH INVENTOR: **KENNETH A. SMITH**

INVENTOR'S SIGNATURE: \_\_\_\_\_

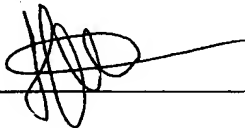
DATE: \_\_\_\_\_

FULL NAME OF EIGHTH INVENTOR: **TING GUO**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

FULL NAME OF NINTH INVENTOR: **PAVEL NIKOLAEV**

INVENTOR'S SIGNATURE: \_\_\_\_\_  


DATE: 7.9.04

FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

DALLAS\_11391335202  
11321-P011WOUS 01/07/2004

**Attorney Docket No.  
11321-P011 Series**

### INVENTOR STATEMENT

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#### MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM NANOTUBE ASSEMBLIES

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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
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**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**Attorney Docket No.**  
**11321-P011 Series**

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas Thess DATE: July 15 2004

DALLAS 11391335212  
11321-P011WOUS 01/07/2004



Attorney Docket No.  
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR  
U.S. NATIONAL PHASE PATENT APPLICATION  
CLAIMING PRIORITY TO PCT APPLICATION  
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

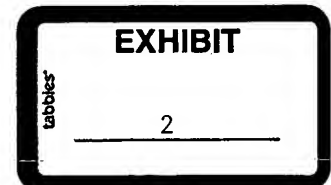
the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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10/027,753	11321-P011C1D4	Divisional	December 21, 2001
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**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:**  **DATE:** 2/25/03

**RESIDENCE: 1911 Milford St., Houston, TX 77098 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
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**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_ **DATE:**\_\_\_\_\_

**RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_ **DATE:**\_\_\_\_\_

**RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_ **DATE:**\_\_\_\_\_

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**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

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**RESIDENCE: 5825 Gulfon, Apartment 3214**  
**Houston, Texas 77081**

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:** Kenneth A. Smith **DATE:** 2-25-07

**RESIDENCE: 333 Dominion, Apartment 1334**  
**Katy, Texas 77450**

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

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**DATE:** \_\_\_\_\_

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**Davis, California 95616**

**CITIZENSHIP: CHINA**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**RESIDENCE: 2232 1/2 TROON**  
**Houston, Texas 77019**

**CITIZENSHIP: RUSSIA**

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
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**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulace,  
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

**CITIZENSHIP: GERMANY**

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AUSTIN\_1\208783\1  
11321-P011WUC1 02/19/2003

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**11321-P011 Series**

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**RESIDENCE: 5825 Gulfton, Apartment 3214**  
**Houston, Texas 77081**

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**RESIDENCE: 333 Dominion, Apartment 1334**  
**Katy, Texas 77450**

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF EIGHTH INVENTOR: TING GUO**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**RESIDENCE: 2612 Calder Court**  
**Davis, California 95616**

**CITIZENSHIP: CHINA**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_

**DATE:**\_\_\_\_\_

**RESIDENCE: 2232 ½ TROON**  
**Houston, Texas 77019**

**CITIZENSHIP: RUSSIA**

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,  
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

**CITIZENSHIP: GERMANY**

**POST OFFICE ADDRESS: (Same as Residence)**

AUSTIN\_1\208783\1  
11321-P011WUC1 02/19/2003

**Attorney Docket No.  
11321-P011 Series**

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR  
U.S. NATIONAL PHASE PATENT APPLICATION  
CLAIMING PRIORITY TO PCT APPLICATION  
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

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the specification of which:

- ☐ is attached hereto; or
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<b>Appl. Serial No.</b>	<b>Att Docket No.</b>	<b>Continuity Type:</b>	<b>Filing Date:</b>
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
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10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
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[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
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U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

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**FULL NAME OF FIRST INVENTOR:** COLBERT, Daniel T.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE:** 1911 Milford St., Houston, TX 77098 USA

**CITIZENSHIP:** United States of America

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:**  \_\_\_\_\_ **DATE:** 6/19/03

**RESIDENCE: 1713 SW 186<sup>th</sup> St., Newberry, Florida 32669 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

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**POST OFFICE ADDRESS: (Same as Residence)**

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**CITIZENSHIP: United States of America**

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**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

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**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

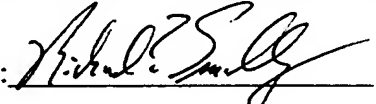
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WINSTEAD SECHREST & MINICK P.C.  
100 Congress Avenue, Suite 800  
Austin, Texas 78701 USA

and direct all telephone calls to **Ross Spencer Garsson, Esq.** at 512-370-2870 and all facsimile communications to 512-370-2850.

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**FULL NAME OF FIRST INVENTOR: COLBERT, Daniel T.**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE: 1911 Milford St., Houston, TX 77098 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:**\_\_\_\_\_ **DATE:**\_\_\_\_\_

**RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

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**RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

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**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

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**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SIXTH INVENTOR: JIE LIU**

**INVENTOR'S SIGNATURE:** 

**DATE:** 02/21/03

**RESIDENCE:** ~~5825 Gulton, Apartment 3214~~ 502 Westminister Drive  
~~Houston, Texas 77081~~ Chapel Hill, North Carolina 27514

*HL 02/21/03*

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**RESIDENCE: 333 Dominion, Apartment 1334**  
**Katy, Texas 77450**

**CITIZENSHIP: U.S.A.**

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**DATE:** \_\_\_\_\_

**RESIDENCE: 2612 Calder Court**  
**Davis, California 95616**

**CITIZENSHIP: CHINA**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV**

**INVENTOR'S SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**RESIDENCE: 2232 1/2 TROON**  
**Houston, Texas 77019**

**CITIZENSHIP: RUSSIA**

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**Attorney Docket No.**  
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FULL NAME OF TENTH INVENTOR: **ANDREAS THESS**

INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

RESIDENCE: **Max-Planck-Institut Biochemie; Abteilung Molekulare,  
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

CITIZENSHIP: **GERMANY**

POST OFFICE ADDRESS: **(Same as Residence)**

AUSTIN\_1\208783\1  
11321-P011WUC1 02/19/2003

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(37 CFR 1.63)**

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- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

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10/027,726	11321-P011C1D8	Divisional	December 21, 2001
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**Houston, Texas 77081**

**CITIZENSHIP: U.S.A.**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH**

**INVENTOR'S SIGNATURE:** Kenneth A. Smith **DATE:** 2-25-03

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**Katy, Texas 77450**

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60/023,732

Official Filing Date  
August 8, 1996

We hereby claim the benefit for each of the Applications under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, We acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920

**Attorney Docket No.**  
**11321-P011 Series**

For each of the Divisional Patent Applications, we further claim the benefit under 35 U.S.C. 120 of United States Patent Application Serial No. 10/000,746, and, insofar as the subject matter of each of the claims of any of the Divisional Patent Application is not disclosed in the this prior United States application in the manner provided by the first paragraph of 35 U.S.C. 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

**POWER OF ATTORNEY:** As named inventors, we hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Ross Spencer Garsson, Reg. No. 38,150  
Hugh R. Kress, Reg. No. 36,574  
Robert C. Shaddox, Reg. No. 34,011  
Henry L. Ehrlich, Reg. No. 39,663  
Timothy M. Donoughue, Reg. No. 46,668  
Reece A. Scott, Reg. No. 41,297  
Edward T. Mickelson, Reg. No. 50,413

of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

Ross Spencer Garsson, Esq.  
WINSTEAD SECHREST & MINICK P.C.  
100 Congress Avenue, Suite 800  
Austin, Texas 78701 USA

and direct all telephone calls to Ross Spencer Garsson, Esq. at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**FULL NAME OF FIRST INVENTOR:** COLBERT, Daniel T.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE:** 1911 Milford St., Houston, TX 77098 USA

**CITIZENSHIP:** United States of America

**POST OFFICE ADDRESS: (Same as Residence)**

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**

**RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**

**RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**

**RESIDENCE: 1713 SW 186<sup>th</sup> St., Newberry, Florida 32669 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**

**RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

Attorney Docket No.  
11321-P011 Series

FULL NAME OF SIXTH INVENTOR: JIE LIU

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

RESIDENCE: 5825 Gulfton, Apartment 3214  
Houston, Texas 77081

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF SEVENTH INVENTOR: KENNETH A. SMITH

INVENTOR'S SIGNATURE: \_\_\_\_\_

DATE: \_\_\_\_\_

RESIDENCE: 333 Dominion, Apartment 1334  
Katy, Texas 77450

CITIZENSHIP: U.S.A.

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF EIGHTH INVENTOR: TING GUO

INVENTOR'S SIGNATURE: \_\_\_\_\_

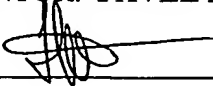
DATE: \_\_\_\_\_

RESIDENCE: 2612 Calder Court  
Davis, California 95616

CITIZENSHIP: CHINA

POST OFFICE ADDRESS: (Same as Residence)

FULL NAME OF NINTH INVENTOR: PAVEL NIKOLAEV

INVENTOR'S SIGNATURE:  \_\_\_\_\_

DATE: 2.21.03

RESIDENCE: 2232 ~~1/2~~ TROON  
Houston, Texas 77019

614 Kipling #9  
Houston, TX 77006 PN

CITIZENSHIP: RUSSIA

POST OFFICE ADDRESS: (Same as Residence)

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF TENTH INVENTOR: ANDREAS THESS**

**INVENTOR'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_**

**RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare,  
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany**

**CITIZENSHIP: GERMANY**

**POST OFFICE ADDRESS: (Same as Residence)**

AUSTIN\_11208783\1  
11321-P011WUC1 02/19/2003

Attorney Docket No.  
11321-P011 Series

**AMENDED DECLARATION AND POWER OF ATTORNEY FOR  
U.S. NATIONAL PHASE PATENT APPLICATION  
CLAIMING PRIORITY TO PCT APPLICATION  
(37 CFR 1.63)**

As below named inventors, we hereby declare that:

Our residence, post office address and citizenship are as stated below next to our names.

We believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

the specification of which:

- ☐ is attached hereto; or
- ☒ was filed on November 30, 2001 as a Continuation Application Number 10/000,746 (Attorney Docket No. 11321-P011WUC1) of U.S. National Phase of 09/242,040 and PCT Application Number PCT/US97/13896 which published as WO 98/05920 on February 12, 1998, corresponding to United States Provisional Patent Application No. 60/023,732, filed August 8, 1996.

The following divisionals of United States Patent Application Serial No. 10/000,746 have been filed (the "Divisional Patent Applications"):

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

We further believe that we are original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the inventions of these Divisional Patent Applications.

**Attorney Docket No.**  
**11321-P011 Series**

Collectively, United States Patent Application Serial No. 10/000,746 and the Divisional Patent Applications are the "Applications".

We hereby state that we have reviewed and understand the contents of the above identified specifications for each of the Applications, including the claims. We hereby authorize our attorney, or his representative, to insert the Application Number, filing and amendment dates.

We acknowledge the duty to disclose information which is material to the patentability of this application in accordance with 37 CFR 1.56.

We hereby claim foreign priority benefits for each of the Applications under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				Yes	No
[ORIGINAL BASE/PRIORITY APPLICATION]			<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

We hereby claim the benefit for each of the Applications under 35 U.S.C. 119(e) of any United States provisional application(s) listed below:

Application No.  
60/023,732

Official Filing Date  
August 8, 1996

We hereby claim the benefit for each of the Applications under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. 112, We acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)
PCT/US97/13896	8 August 1997	WO 98/05920



**Attorney Docket No.  
11321-P011 Series**

For each of the Divisional Patent Applications, we further claim the benefit under 35 U.S.C. 120 of United States Patent Application Serial No. 10/000,746, and, insofar as the subject matter of each of the claims of any of the Divisional Patent Application is not disclosed in the this prior United States application in the manner provided by the first paragraph of 35 U.S.C. 112, we acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

**POWER OF ATTORNEY:** As named inventors, we hereby appoint the following attorneys and/or agents to prosecute this application and transact all business in the Patent and Trademark Office connected therewith:

Ross Spencer Garsson, Reg. No. 38,150  
Hugh R. Kress, Reg. No. 36,574  
Robert C. Shaddox, Reg. No. 34,011  
Henry L. Ehrlich, Reg. No. 39,663  
Timothy M. Donoughue, Reg. No. 46,668  
Reece A. Scott, Reg. No. 41,297  
Edward T. Mickelson, Reg. No. 50,413

of the law firm of WINSTEAD SECHREST & MINICK P.C. Please direct all correspondence to:

Ross Spencer Garsson, Esq.  
WINSTEAD SECHREST & MINICK P.C.  
100 Congress Avenue, Suite 800  
Austin, Texas 78701 USA

and direct all telephone calls to Ross Spencer Garsson, Esq. at 512-370-2870 and all facsimile communications to 512-370-2850.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**FULL NAME OF FIRST INVENTOR:** COLBERT, Daniel T.

**INVENTOR'S SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**RESIDENCE:** 1911 Milford St., Houston, TX 77098 USA

**CITIZENSHIP:** United States of America

**POST OFFICE ADDRESS:** (Same as Residence)

**Attorney Docket No.**  
**11321-P011 Series**

**FULL NAME OF SECOND INVENTOR: DAI, Hongjie**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: 365 Pescadero Terrace, Sunnyvale, CA 94086 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF THIRD INVENTOR: HAFNER, Jason H.**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: 373 Highland Ave. #203, Somerville, Massachusetts 02144 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FOURTH INVENTOR: RINZLER, Andrew G.**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: 1713 SW 186<sup>th</sup> St., Newberry, Florida 32669 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

**FULL NAME OF FIFTH INVENTOR: SMALLEY, Richard E.**

**INVENTOR'S SIGNATURE:\_\_\_\_\_ DATE:\_\_\_\_\_**

**RESIDENCE: 1816 Bolsover St., Houston, TX 77081 USA**

**CITIZENSHIP: United States of America**

**POST OFFICE ADDRESS: (Same as Residence)**

Attorney Docket No.  
11321-P011 Series

FULL NAME OF TENTH INVENTOR: ANDREAS THESS

INVENTOR'S SIGNATURE: Andreas TR

DATE: 02/26/2003

RESIDENCE: Max-Planck-Institut Biochemie; Abteilung Molekulare, \*  
Strukturbiologie am Klopferspitz 189, D-82152 Martinsried, Germany

CITIZENSHIP: GERMANY

POST OFFICE ADDRESS: (Same as Residence)

AUSTIN\_112087831  
11321-P011WUC1 02/19/2003

\*

Andreas Thess' residence:

Andreas Kemmler-Weg 3  
72127 Kusterdingen  
Germany

02/26/2003

TR



UNITED STATES  
PATENT AND  
TRADEMARK OFFICE

OCTOBER 24, 2003

PTAS

WINSTEAD SECHREST & MINICK, P.C.  
ROSS SPENCER GARSSON  
P.O. BOX 50784  
1201 MAIN STREET  
DALLAS, TX 75250-07984

Chief Financial Officer and Chief Administrative Officer  
Washington, DC 20231  
www.uspto.gov



\*102452527A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/16/2003

REEL/FRAME: 014070/0372  
NUMBER OF PAGES: 42

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LIU, JIE

DOC DATE: 02/21/2003

ASSIGNOR:

SMITH, KENNETH A

DOC DATE: 04/04/2003

ASSIGNOR:

GUO, TING

DOC DATE: 04/07/2003

ASSIGNOR:

NIKOLAEV, PAVEL

DOC DATE: 02/21/2003

ASSIGNOR:

THESS, ANDREAS

DOC DATE: 02/26/2003

ASSIGNOR:

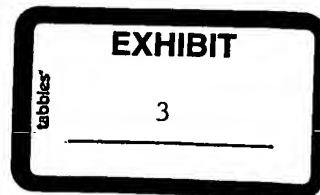
COLBERT, DANIEL T.

DOC DATE: 02/25/2003

ASSIGNOR:

DAI, HONGJIE

DOC DATE: 02/27/2003



ASSIGNOR:

HAFNER, JASON H.

DOC DATE: 03/06/2003

ASSIGNOR:

RINZLER, ANDREW G.

DOC DATE: 04/16/2003

ASSIGNOR:

SMALLEY, RICHARD E.

DOC DATE: 02/20/2003

ASSIGNEE:

WILLIAM MARSH RICE UNIVERSITY  
6100 MAIN STREET  
HOUSTON, TEXAS 77005

SERIAL NUMBER: 10000746  
PATENT NUMBER:

FILING DATE: 11/30/2001  
ISSUE DATE:

SERIAL NUMBER: 10028231  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027671  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10038204  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027753  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027670  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027750  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027726  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027628  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027668  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

SERIAL NUMBER: 10027568  
PATENT NUMBER:

FILING DATE: 12/21/2001  
ISSUE DATE:

TONYA LEE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

05-20-2003

Form PTO-1595  
(Rev. 10/02)

RI

U.S. DEPARTMENT OF COMMERCE  
U.S. Patent and Trademark Office

OMB No. 0651-0027 (exp. 6/30/2005)

102452527

Tab settings ⇌ ⇌ ⇌ ▼ ▼ ▼ ▼ ▼

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev;  
Andreas Thess; Daniel T. Colbert; Hongjie Dai; Jason  
H. Hafner; Andrew G. Rinzler; and Richard E. SmalleyAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

2/21/03; 4/4/03; 4/7/03; 2/21/03;  
 Execution Date: 2/26/03; 2/25/03; 2/27/03; 3/6/03;  
 4/16/03 and 2/20/03

## 2. Name and address of receiving party(ies)

Name: William Marsh Rice UniversityInternal Address: 6100 Main StreetStreet Address: 6100 Main StreetCity: Houston State: TX Zip: 77005Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s) 10/000,746; 10/028,23110/027,671; 10/038,204; 10/027,753; 10/027,670;10/027,750; 10/027,726; 10/027,628 Additional numbers attached? ☒ Yes ☐ No

B. Patent No.(s) \_\_\_\_\_

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ross Spencer GarssonInternal Address: Winstead Sechrest & Minick P.CStreet Address: P.O. Box 507841201 Main StreetCity: Dallas State: TX Zip: 75250-07846. Total number of applications and patents involved: 117. Total fee (37 CFR 3.41).....\$ 440.00☒ Enclosed☐ Authorized to be charged to deposit account

## 8. Deposit account number:

23-2426 (11321-P011WUC1)

DO NOT USE THIS SPACE

9. Signature

IMPELLER 00000133 10000746

Ross Spencer Garsson

Name of Person Signing

Signature

Total number of pages including cover sheet, attachments, and documents: 42

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Washington, D.C. 20231
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 FINANCE SECTION  
 Date
05/19/2003  
01 FC:8021

440.00

**Continuation of Recordation Form Cover Sheet (Form PTO-1595)**

4. Application number(s) or patent number(s):

A. Patent Application No.(s):

10/027,668; and 10/027,568

AUSTIN\_1\214865\1  
11321-P011WUC1 05/09/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

\_\_\_\_\_ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl. Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:



Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

**WHEREAS**, collectively, all of the above-referenced patent applications are the "Applications."

**WHEREAS**, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

**NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN**, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

**FURTHER**, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

further that they will communicate to Assignee, or to its successors, assigns, and legal representatives, any facts known respecting said inventions, and at the expense of the Assignee, testify in any legal proceedings, and generally do everything possible to aid the Assignee, its successors, assigns and nominees to obtain and enforce proper patent protection for said inventions in all countries.

And the Commissioner of Patents and Trademarks is hereby authorized and requested to issue all Letters Patent to the Assignee in accordance with the terms of the assignment.

**IN TESTIMONY WHEREOF**, the Assignor has hereunto set his hands on the date indicated below.

**DANIEL T. COLBERT**  
a resident of Houston, Texas

Dated: 2/25/03



**HONGJIE DAI**  
a resident of Sunnyvale, California

Dated: \_\_\_\_\_

\_\_\_\_\_

**JASON H. HAFNER**  
a resident of Somerville, Massachusetts

Dated: \_\_\_\_\_

\_\_\_\_\_

**ANDREW G. RINZLER**  
a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_  
**RICHARD E. SMALLEY**  
a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES

\_\_\_\_\_ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

X for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

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10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:

Application Serial No.	Att. Docket No.	Country:
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WHEREAS, collectively, all of the above-referenced patent applications are the "Applications."

WHEREAS, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

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a resident of Houston, Texas

Dated: \_\_\_\_\_

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a resident of Sunnyvale, California

Dated: \_\_\_\_\_

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Dated: \_\_\_\_\_

**JASON H. HAFNER**  
a resident of ~~Somerville, Massachusetts~~  
Houston, Texas *JH*

Dated: 03/06/03

*Jason H. Hafner*  
\_\_\_\_\_

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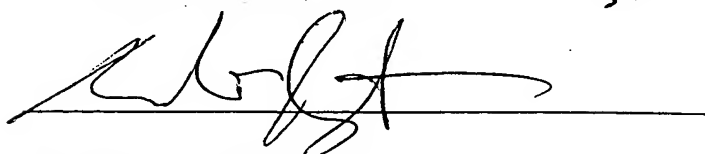
Dated: \_\_\_\_\_

\_\_\_\_\_

ANDREW G. RINZLER

~~a resident of Houston, Texas~~ NEWBERRY, FL AGR.  
4/16/03

Dated: 4/16/03



RICHARD E. SMALLEY

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IN TESTIMONY WHEREOF, the Assignor has hereunto set his hands on the date indicated below.

12/02/21/03

**JIE LIU**

a resident of ~~Houston, Texas~~ Chapel Hill, North Carolina

Dated: 02/21/03

  
\_\_\_\_\_

**KENNETH A. SMITH**

a resident of Katy, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**TING GUO**

a resident of Davis, California

Dated: \_\_\_\_\_

\_\_\_\_\_

**PAVEL NIKOLAEV**

a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**ATTORNEY DOCKET NO.**  
**11321-P011 Series**

**PATENT**

**ANDREAS THESS**  
a resident of Martinsried, Germany

Dated: \_\_\_\_\_

\_\_\_\_\_

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

\_\_\_\_\_ for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

  X   for which reference a full description is here made in an application for the United States Patent Application Serial No. 10/000,746 (Attorney Docket No. 11321-P011WUC1), filed on November 30, 2001, which application claims priority as follows:

Application:	Continuity Type:	Parent Application:	Parent Filing Date:
10/000,746	Continuation	United States National Phase	September 13, 1999
09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

WHEREAS, the "Assignor", has invented other new and useful inventions that were disclosed in United States Patent Application Serial No. 10/000,746, for which the following divisionals of United States Patent Application Serial No. 10/000,746 have been filed:

Appl Serial No.	Att. Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001

WHEREAS, in addition to the entering in the national phase in the United States, the International Patent Application Serial No. PCT/US97/13896 has entered into foreign national phases in the following countries:



Application Serial No.	Att. Docket No.	Country:
97938159.7	11321-P011WOEP	EC
508225/98	11321-P011WOJP	Japan

**WHEREAS**, collectively, all of the above-referenced patent applications are the "Applications."

**WHEREAS**, William Marsh Rice University, a University having a principal office and place of business at 6100 Main Street, Houston, Texas 77005, hereinafter called the "Assignee", is desirous of acquiring the entire right, title and interest in and to said inventions, the Applications above identified, and in, to and under Letters Patent which may be obtained for said inventions, as hereinafter more fully set forth;

**NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN**, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

**FURTHER**, be it known that the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire foreign rights to the inventions disclosed in the Applications, in all countries of the world, including the right to file applications and obtain patents under the terms of the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, and of the European Patent Convention, and further agrees to execute any and all patent applications, assignments, affidavits, and any other papers in connection therewith necessary to perfect such patent rights.

And the Assignor does hereby covenant and agree, for himself/herself and his/her legal representatives, that they will assist the Assignee in the prosecution of the Applications herein identified; in the making and prosecution of any other applications for Letters Patent that the Assignee may elect to make covering the inventions herein identified, as hereinbefore set forth, including any application for reissue, application for reexamination, application for foreign patent rights, or any proceeding in the United States Patent and Trademark Office affecting the inventions, investing in the Assignee exclusive title in and to all such other applications and Letters Patent; and in the prosecution of any interference which may arise involving said inventions, or any application or Letters Patent herein contemplated; that they will promptly execute and deliver to the Assignee any and all additional papers and make all lawful oaths which may be requested by the Assignee to fully carry out the terms of this assignment; and

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**IN TESTIMONY WHEREOF**, the Assignor has hereunto set his hands on the date indicated below.

**JIE LIU**

a resident of Houston, Texas

Dated: \_\_\_\_\_

**KENNETH A. SMITH**

a resident of Katy, Texas

Dated: 4.4.03

\_\_\_\_\_

**TING GUO**

a resident of Davis, California

Dated: \_\_\_\_\_

**PAVEL NIKOLAEV**

a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**ANDREAS THESS**  
a resident of Martinsried, Germany

Dated: \_\_\_\_\_

\_\_\_\_\_

AUSTIN\_11211971VI  
11321-P011WUC1 04/04/2003

ASSIGNMENT

WHEREAS, the undersigned inventor(s), hereinafter called the "Assignor", has invented a new and useful invention entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
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for which reference a full description is here made in an application for Letters Patent of the United States filed herewith.

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09/242,040	United States National Phase	PCT Application	August 8, 1997
PCT/US97/13896	PCT Application	60/023,732	August 8, 1996

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Appl Serial No.	Att Docket No.	Continuity Type:	Filing Date:
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
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980225/98	11321-P011WOJP	Japan

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**NOW, THEREFORE, TO ALL WHOM IT MAY CONCERN**, be it known that for valuable and legally sufficient consideration, the receipt of which by the Assignor from the Assignee is hereby acknowledged, the Assignor has sold, assigned and transferred, and by these presents does sell, assign and transfer unto the Assignee, its successors and assigns, the entire right, title and interest in and to the inventions and the Applications hereinabove identified, and all Letters Patent that may issue for the said inventions, and all divisions, reissues, substitutions, continuations, and extensions thereof, to have and to hold for the sole and exclusive use and benefit of the Assignee, its successors and assigns to the full end of the term for which any and all of said Letters Patent for the said inventions may issue.

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**JIE LIU**  
a resident of Houston, Texas

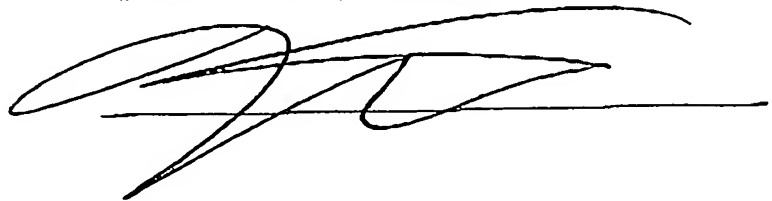
Dated: \_\_\_\_\_

**KENNETH A. SMITH**  
a resident of Katy, Texas

Dated: \_\_\_\_\_

**TING GUO**  
a resident of Davis, California

Dated: 4/7/03



**PAVEL NIKOLAEV**  
a resident of Houston, Texas

Dated: \_\_\_\_\_

**ATTORNEY DOCKET NO.**  
**11321-P011 Series**

**PATENT**

**ANDREAS THESS**  
a resident of Martinsried, Germany

Dated: \_\_\_\_\_

\_\_\_\_\_

AUSTIN\_11208780\1  
11321-P011WUC1 02/19/2003

ASSIGNMENT

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**JIE LIU**

a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**KENNETH A. SMITH**

a resident of Katy, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**TING GUO**

a resident of Davis, California

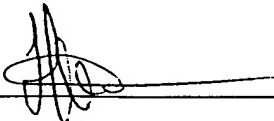
Dated: \_\_\_\_\_

\_\_\_\_\_

**PAVEL NIKOLAEV**

a resident of Houston, Texas

Dated: 2.21.03

  
\_\_\_\_\_

**ANDREAS THESS**  
a resident of Martinsried, Germany

Dated: \_\_\_\_\_

\_\_\_\_\_

AUSTIN\_1\208780\1  
11321-P011WUC1 02/19/2003

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**JIE LIU**  
a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

**KENNETH A. SMITH**  
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Dated: \_\_\_\_\_

\_\_\_\_\_

**TING GUO**  
a resident of Davis, California

Dated: \_\_\_\_\_

\_\_\_\_\_

**PAVEL NIKOLAEV**  
a resident of Houston, Texas

Dated: \_\_\_\_\_

\_\_\_\_\_

ATTORNEY DOCKET NO.  
11321-P011 Series

PATENT

ANDREAS THESS

a resident of ~~Martinsried~~, Germany

Kusterdingen

02/26/2003

TR

Dated: 02/26/2003

Andreas TR

AUSTIN\_11208780\1  
11321-P011WUC1 02/19/2003

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/000,746
Filing Date	11/30/2001
First Named Inventor	Daniel T. Colbert
Group Art Unit	2881
Examiner Name	Not Yet Assigned
Attorney Docket Number	11321-P011WUC1

Total Number of Pages in This Submission **44****ENCLOSURES (check all that apply)**

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

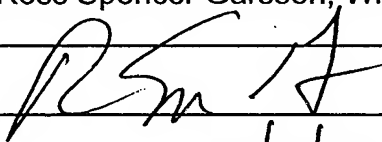
- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):  
Recordation Cover Sheet; Check No. 002720 (\$440.00); Postal Card Receipt Card

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Ross Spencer Garsson, Winstead Sechrest &amp; Minick P.C.

Signature



Date

05/12/03

**CERTIFICATE OF MAILING**

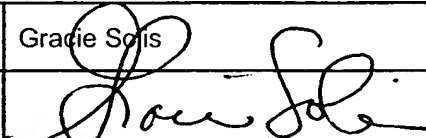
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

05/12/2003

Typed or printed name

Gracie Sois

Signature



Date

05/12/2003

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# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 440.00

## Complete if Known

Application Number	10/000,746
Filing Date	November 30, 2001
First Named Inventor	Daniel T. Colbert
Examiner Name	Not Yet Assigned
Art Unit	2881
Attorney Docket No.	11321-P011WUC1

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

23-2426

Winstead Sechrest & Minick P.C.

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	
SUBTOTAL (1)			(\$ 0.00

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

	Extra Claims	Fee from below	Fee Paid
Total Claims	-20** =	X	
Independent Claims	-3** =	X	
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or. reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	440.00
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 440.00

## SUBMITTED BY

Name (Print/Type) Ross Spencer Carson

Registration No.  
(Attorney/Agent)

38,150

(Complete if applicable)

Telephone 512/370-2870

Signature

Date

5/12/03

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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**ASSIGNEE CONSENT FOR CORRECTION OF INVENTORS**

Assignee hereby consents to the Correction of Inventorship for the applications related to the invention(s) entitled:

**MACROSCOPICALLY MANIPULATE NANOSCALE DEVICES MADE FROM  
NANOTUBE ASSEMBLIES**

for which the following applications have been filed:

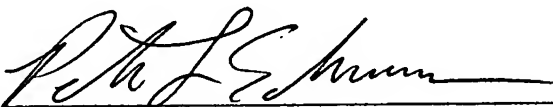
Appl. Serial No.	Att. Docket No.	Type/ Continuity Type:	Filing Date:
60/023,732	None	Provisional	August 8, 1996
PCT/US97/13896	11321-P011WO	International	August 8, 1997
09/242,040	11321-P011WOUS	National Phase	September 13, 1999
10/000,746	11321-P011WUC1	Continuation	November 30, 2001
10/028,231	11321-P011C1D1	Divisional	December 21, 2001
10/027,671	11321-P011C1D2	Divisional	December 21, 2001
10/038,204	11321-P011C1D3	Divisional	December 21, 2001
10/027,753	11321-P011C1D4	Divisional	December 21, 2001
10/036,684	11321-P011C1D5	Divisional	December 21, 2001
10/027,670	11321-P011C1D6	Divisional	December 21, 2001
10/027,750	11321-P011C1D7	Divisional	December 21, 2001
10/027,726	11321-P011C1D8	Divisional	December 21, 2001
10/027,628	11321-P011C1D9	Divisional	December 21, 2001
10/027,668	11321-P011CD10	Divisional	December 21, 2001
10/027,568	11321-P011CD11	Divisional	December 21, 2001
10/670,955	11321-P011CD2D1	Divisional of 10/027,671	September 25, 2003

The correct Inventors of the invention relating to these applications are: Daniel T. Colbert; Hongjie Dai; Jason H. Hafner; Andrew G. Rinzler; Richard E. Smalley; Jie Liu; Kenneth A. Smith; Ting Guo; Pavel Nikolaev and Andreas Thess.

WILLIAM MARSH RICE UNIVERSITY

Date: 6/22/, 2004

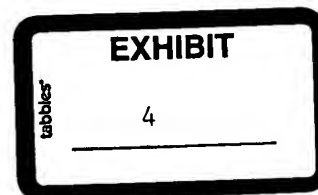
By:



Peter L. Schuerman

Acting Director, Office of Technology Transfer

DALLAS 1139135041  
11321-P011WOUS 06/15/2004



**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: William March Rice UniversityApplication No./Patent No.: 10/027,671 Filed/Issue Date: December 21, 2001Entitled: Method for Cutting Single-Wall Carbon NanotubesWilliam March Rice University, a University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 014070, Frame 0372, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

- [ ] Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/22/04

Date

Peter L. Schuerman

Typed or printed name

Peter L. Schuerman

Signature

Acting Director, Office of Technology Transfer

Title

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**EXHIBIT**

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5

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# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

Application Number	10/027,671
Filing Date	December 21, 2001
First Named Inventor	Daniel T. Colbert
Title	Method for Cutting Single-Wall . . .
Art Unit	1754
Examiner Name	Peter J. Lish
Attorney Docket Number	11321-P011C1D2

I hereby appoint:

☐ Practitioners at Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Ross Spencer Garsson	Reg. No. 38,150
Robert C. Shaddox	Reg. No. 34,011
Henry L. Ehrlich	Reg. No. 39,011
Edward T. Mickelson	Reg. No. 50,413

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Winstead Sechrest & Minick P.C.				
Address	P.O. Box 50784				
Address					
City	Dallas	State	Texas	Zip	75201
Country	US				
Telephone	512.370.2870	Fax	512.370.2850		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

## SIGNATURE of Applicant or Assignee of Record

Name	Peter L. Schuerman, Acting Director, Office of Technology Transfer, William Marsh Rice University				
Signature	<i>Peter L. Schuerman</i>				
Date	6/22/04	Telephone	(713) 348-6231		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 16 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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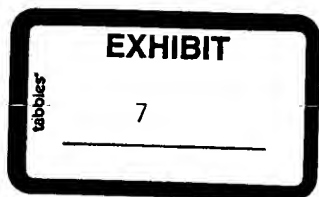
6

tabbles

## **Application Data Sheet**

### **Application Information**

Application number::	10/027,671
Filing Date::	December 21, 2001
Application Type::	Regular
Subject Matter::	Utility
Suggested Classification::	
Suggested Group Art Unit::	1754
CD-ROM or CD-R?::	None
Number of CD disks::	
Number of copies of CDs::	
Sequence Submission?::	None
Computer Readable Form (CRF)?::	No
Number of copies of CRF::	
Title::	METHOD FOR CUTTING SINGLE-WALL CARBON NANOTUBES
Attorney Docket Number::	11321-P011C1D2
Request for Early Publication?::	No
Request for Non-Publication?::	No
Suggested Drawing Figure::	1
Total Drawing Sheets::	14
Small Entity?::	No
Petition included?::	Yes
Petition Type::	Petition Under §1.48 to Correct Inventorship
Licensed US Govt. Agency::	
Contract or Grant Numbers::	
Secrecy Order in Parent Appl.?::	No



**Applicant Information**

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Daniel  
Middle Name:: T.  
Family Name:: Colbert  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 1911 Milford Street  
City of mailing address:: Katy  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77098

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Hongjie  
Middle Name::  
Family Name:: Dai  
Name Suffix::  
City of Residence:: Sunnyvale  
State or Province of Residence:: CA  
Country of Residence:: US  
Street of mailing address:: 365 Pescadero Street  
City of mailing address:: Sunnyvale  
State or Province of mailing address:: CA  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 94068

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Jason  
Middle Name:: H.  
Family Name:: Hafner  
Name Suffix::  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 2129 Banks  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77098

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Andrew  
Middle Name:: G.  
Family Name:: Rinzler  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 6666 Chetwood Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77081

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Richard  
Middle Name:: E.  
Family Name:: Smalley  
Name Suffix::  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 1816 Bolsover Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77005

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Jie  
Middle Name::  
Family Name:: Liu  
Name Suffix::  
City of Residence:: Chapel Hill  
State or Province of Residence:: NC  
Country of Residence:: US  
Street of mailing address:: 502 Westminster Drive  
City of mailing address:: Chapel Hill  
State or Province of mailing address:: NC  
Country of mailing address:: US



Postal or Zip Code of mailing address:: 27514

\*\*\*\*\*

Applicant Authority type:: Inventor

Primary Citizenship Country:: US

Status:: Full Capacity

Given Name:: Kenneth

Middle Name:: A.

Family Name:: Smith

Name Suffix::

City of Residence:: Katy

State or Province of Residence:: TX

Country of Residence:: US

Street of mailing address:: 333 Dominion, Apartment 1334

City of mailing address:: Katy

State or Province of mailing address:: TX

Country of mailing address:: US

Postal or Zip Code of mailing address:: 77450

\*\*\*\*\*

Applicant Authority type:: Inventor

Primary Citizenship Country:: CN

Status:: Full Capacity

Given Name:: Ting

Middle Name::

Family Name:: Guo

Name Suffix::

City of Residence:: Davis

State or Province of Residence:: CA

Country of Residence:: US

Street of mailing address:: 2612 Calder Court

City of mailing address:: Davis

State or Province of mailing address:: CA

Country of mailing address:: US  
Postal or Zip Code of mailing address:: 95616  
\*\*\*\*\*  
Applicant Authority type:: Inventor  
Primary Citizenship Country:: US  
Status:: Full Capacity  
Given Name:: Pavel  
Middle Name::  
Family Name:: Nikolaev  
Name Suffix::  
City of Residence:: Houston  
State or Province of Residence:: TX  
Country of Residence:: US  
Street of mailing address:: 614 Kipling, #9  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77006

\*\*\*\*\*

Applicant Authority type:: Inventor  
Primary Citizenship Country:: DE  
Status:: Full Capacity  
Given Name:: Andreas  
Middle Name::  
Family Name:: Thess  
Name Suffix::  
City of Residence:: Kusterdingen  
State or Province of Residence::  
Country of Residence:: DE  
Street of mailing address:: Andreas Kemmler Weg 3  
City of mailing address:: Kusterdingen

State or Province of mailing address::

Country of mailing address:: DE

Postal or Zip Code of mailing address:: 72127

### Correspondence Information

Correspondence Customer Number::

Name:: Ross Spencer Garsson

Street of mailing address:: P.O. Box 50784

City of mailing address:: Dallas

State or Province of mailing  
address:: TX

Country of mailing address:: US

Postal or Zip Code of mailing  
address:: 75201

Phone number:: 512.370.2870

Fax number:: 214.745.5390

E-Mail address:: rgarsson@winstead.com

Representative Designation::	Registration Number::	Representative Name::
Primary	38,150	Ross S. Garsson
Associate	36,574	Hugh R. Kress
Associate	39,663	Henry L. Ehrlich
Associate	50,413	Edward T. Mickelson

### Domestic Priority Information

Application::	Continuity Type::	Parent Application::	Parent Filing Date::
This Application	Division of	10/000,746	10/31/2001
Parent	Continuation of	09/242,040	09/13/1999
Grandparent	US National Stage	PCT/US97/13896	08/08/1997

**Foreign Priority Information**

<b>Country::</b>	<b>Application number::</b>	<b>Filing Date::</b>	<b>Priority Claimed::</b>

**Assignee Information**

Assignee name:: William Marsh Rice University  
Street of mailing address:: 6100 Main Street  
City of mailing address:: Houston  
State or Province of mailing address:: TX  
Country of mailing address:: US  
Postal or Zip Code of mailing address:: 77005

Dallas\_1 4041757v.1



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/027,671	12/21/2001	2881	913	11321- P011C1D2	14	57	9

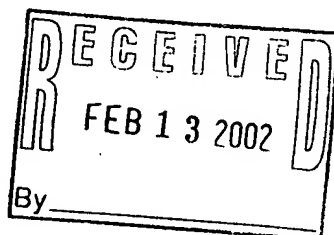
CONFIRMATION NO. 1673

## FILING RECEIPT



\*OC000000007431426\*

Hugh R. Kress  
2400 Bank One Center  
910 Travis Street  
Houston, TX 77002



Date Mailed: 02/06/2002

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## Applicant(s)

Daniel T. Colbert, Houston, TX;  
Hongjie Dai, Sunnyvale, CA;  
Jason H. Hafner, Houston, TX;  
Andrew G. Rinzler, Houston, TX;  
Richard E. Smalley, Houston, TX;

Jie Lin, Chapel Hill, NC  
Kenneth A. Smith, Katy, TX  
Ting Guo, Davis, CA  
Pavel Nikolaev, Houston, TX  
Andreas Thess, Kusterdingen, DE

## Assignment For Published Patent Application

William Marsh Rice University, Houston, TX;

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A DIV OF 10/000,746 11/30/2001  
WHICH IS A CON OF 09/242,040 09/13/1999 ABN  
WHICH IS A 371 OF PCT/US97/13896 08/08/1997  
WHICH CLAIMS BENEFIT OF 60/023,732 08/08/1996

## Foreign Applications

If Required, Foreign Filing License Granted 02/06/2002

Projected Publication Date: 05/16/2002

Non-Publication Request: No

Early Publication Request: No

**\*\* SMALL ENTITY \*\***

**Title**

Method for cutting single-wall carbon nanotubes

**Preliminary Class**

250

---

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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